

Snell & Wilmer

L.L.P.

LAW OFFICES

One Arizona Center
400 East Van Buren
Phoenix, Arizona 85004-2202
(602) 382-6000
Fax: (602) 382-6070
www.swlaw.com

RECEIVED
CENTRAL FAX CENTER

SEP 15 2004

PHOENIX, ARIZONA
TUCSON, ARIZONA
IRVINE, CALIFORNIA
SALT LAKE CITY, UTAH
DENVER, COLORADO
LAS VEGAS, NEVADA

339

FACSIMILE TRANSMISSION

DATE: September 15, 2004

TIME IN:
TIME OUT:

TO:

Name	Fax Number	Phone Number
Examiner Alain L. Bashore U.S. Patent and Trademark Office	703/872-9306	

FROM: Howard Sobelman

PHONE: 602-382-6228

RE: U.S. Serial No. 09/940,509

MESSAGE:

Amendment and Reply dated September 15, 2004, to Office Action mailed on July 9, 2004.

Thank you.
Howard Sobelman

Please confirm receipt of this facsimile.

ORIGINAL DOCUMENT: Will be sent

NUMBER OF PAGES (Including Cover): 14

CONFIRMATION NO.:

CLIENT MATTER NO.: 40655.5800

PLEASE RETURN TO: Debbie Mier
16s03

PERSONAL FAX: No

REQUESTOR: Howard
Sobelman

DIRECT LINE: 602-382-6228

IF YOU HAVE NOT PROPERLY RECEIVED THIS TELECOPY, PLEASE CALL US AT (602) 382-6075.
OUR FACSIMILE NUMBER IS (602) 382-6070.

THE INFORMATION CONTAINED IN THIS FACSIMILE MESSAGE IS ATTORNEY PRIVILEGED AND CONFIDENTIAL INFORMATION INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY NAMED ABOVE. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE TO DELIVER IT TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE IMMEDIATELY NOTIFY US BY TELEPHONE, AND RETURN THE ORIGINAL MESSAGE TO US AT THE ABOVE ADDRESS VIA THE U.S. POSTAL SERVICE. THANK YOU.

RECEIVED
CENTRAL FAX CENTER

SEP 15 2004

Certificate of Transmission/Mailing under 37 CFR 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office at (703) 872-9306 and that a confirmation copy is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on:

Date: September 15, 2004By: Nehorah A. MierIN THE UNITED STATES PATENT AND TRADEMARK OFFICEPATENT

Applicants:	Dunning, et al.	Docket No.:	40655.5800
Serial No.:	09/940,509	Examiner:	Bashore, Alain L
Filed:	August 27, 2001	Group Art Unit:	3624
Title:	SYSTEM AND METHOD FOR CREATING AND ADMINISTERING AN INVESTMENT INSTRUMENT	Confirmation No.:	7398

AMENDMENT AND REPLY

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

In reply to the Office Action dated July 9, 2004, of which this response is within the shortened three month statutory period for response, please amend the above-identified application as follows:

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks/Arguments begin on page 11 of this paper.